FSA

eZ-Audit
Use-Case Specification 23: Create Determination for Financial Statement

Version 2.2

Revision History

Date	Version	Description	Author
07-17-2002	1.0	Final version created for 7/17 deliverable submission	Maja Dragnic
08-05-2002	1.1	Revised version created for deliverable re-submission	Matt Portolese
08-28-2002	1.2	• Changed “Reason Requested” text field into a drop-down box. • Removed “Change Determination” link. • Added Back button. • Added FAC ACN to each page. • Name of the institution on the top of the page is a link to the Institution Profile page. • Uploaded file does not need to be a pdf. • Changed “Modify” button to “Edit” button.	Maja Dragnic
09-13-2002	1.3	Added special requirement: If “Other” is selected as “Reason” on any of the LOC pages, then a new free-text box would appear where the user can write a reason. Change the content of the “Determination” drop-down box. After Co-Team Leader approves Request for LOC, there are Archive function and LOC Option Chosen drop-down box on the LOC page. After each determination has been archived, there is a Complete LOC link on the left nav. The user can select that link after which the record follows regular process of Request for LOC. Previous determination is displayed on the determination page. See Special Requirements for more details.	Maja Dragnic
04-24-03	1.4	Release 2.0 updates	Andre Sakaluk
05/30/2003	2.0	Incorporated further updates to reflect Release 1.0 functionality.	Seth Sinclair
06/02/2003	2.1	Updates to reflect R 1.01 requirements.	Seth Sinclair
01/15/2004	3.0	Updated Special Requirements to reflect R2.0 Non-Annual requirement regarding system School FYE update	Ben Lopez

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Create Determination for Financial Statement

1. Create Determination for Financial Statement

1.1 Brief Description

After a Financial Analyst actor completes analysis of a financial statement, the actor must record their determination and create appropriate documents for that determination. The purpose of this use case is to address a Financial Analyst's ability to create their determination and attach/capture related information.

2. Flow of Events

2.1 Basic Flow

The process of creating a Determination for a Financial Statement is different based on the determination selected. Three main types of processes can be defined by three groups of determinations: 1. those related to a Letter of Credit (LOC), 2. those related to Cash Monitoring, 3. Reimbursement/Without condition/AAA referral and Denial.

The Basic Flow describes the process of creating determination when the determination is LOC with options (or any other LOC type of determination) up to the point when the resolution is ready to be sent to Co-Team for approval.

1) Financial Analyst actor selects to Complete Determination for Financial Statement
Financial Analyst actor selects the "Complete Determination for Financial Statement" option from the left navigation bar.

2) System displays Determination page
The system displays Determination page. On the top of the page are displayed:

Name of the Institution
OPEID
Fiscal Year End Date
ACN

There is a "Determination" field on this page. The field is a drop-down box with the following values (Financial Analyst can select only one):

1. LOC with options
2. LOC ≥ 50%
3. LOC ≥ 10% + HCM 1
4. LOC ≥ 10% + HCM 2
5. LOC ≥ 10% + Reimbursement
6. LOC 25%
7. Zone-Heightened-Cash Monitoring 1
8. Zone-Heightened-Cash Monitoring 2
9. Reimbursement
10. Without condition
11. AAA Referral
12. Denial

There is Determination Date field label on this page with no value displayed. There is a save option.

3) Financial Analyst actor selects determination "LOC with options"
Financial Analyst actor selects determination "LOC with options" in the Determination drop-down box and selects the "Save" option.

4) System displays Determination page with fields to capture LOC information
System re-displays Determination page with fields to capture LOC information.

On the top of the page are displayed:
Name of the Institution
OPEID
ACN
Fiscal Year End Date

The determination selected (LOC with Options) is displayed in the determination field. The "Determination Date" field is populated with the current date (read-only).

The following text is displayed on the page:
This determination requires a Request for Letter of Credit to be uploaded into the system. Please use the word processing program of your choice and template to create the Request for LOC Letter. When you are done, please use the fields below to upload your Request for LOC into the system. If you need to make changes to the file after it has been uploaded, you must do so by changing the file outside of the system and uploading a new version. All fields containing asterisks are required.

Below this text, there are following fields:
File Name (text box; file can be selected by using the Browse button next to the File field), required
Sent Date, not required

There is a "Request for LOC" section with the following fields:
LOC Due Date (text box), required
Request Date (text box), required
Reason Requested (drop-down box), required
Values in the Reason Requested drop down-box are:

1. Disclaimer
2. Failed Past Performance Requirements
3. Failed Numeric Test
4. Going Concern
5. Other
6. Untimely Refunds
7. Waiver

Extension Due Date, not required
Reason Extension Granted, not required

There is a "LOC" section with the following fields:
Date LOC Received, not required
Issue Date, not required

Amount (text box), not required
% Funding (text box), not required
Expiration Date, not required
Release Date, not required
LOC Number, not required
Amendment to LOC, not required

There is a “Bank Information” section with the following fields:
Bank Name, not required
Contact Person Name, not required
Phone Number, not required
Address, not required
City, not required
State, not required
Zip/Postal Code, not required

There is a “Save” option and a “Cancel” option.

5) Financial Analyst actor selects Browse option
Financial Analyst selects Browse option next to the “File” field in order to select the file he/she wants to upload.

6) System displays Choose File window
System displays Choose File window.

7) Financial Analyst actor selects the file and chooses Open function
Financial Analyst browses to select the file he/she wants to upload and selects the “Open” function.

8) System displays the location path of the selected file in the File field
System displays the path to the selected file in the “File” field.

9) Financial Analyst actor enters values in “Request for LOC” fields and selects Save function
Financial Analyst enters values in the “Request for LOC” fields in at least the required fields:
LOC Due Date
Request Date
Reason Requested
and selects the “Save” function.

10) System displays Determination Page
System re-displays Determination page. There is a link to the uploaded Request for LOC file. Information that Financial Analyst entered in Step 9 is displayed. All fields are editable. At this point, the Financial Analyst has the ability to send the resolution package to the Co-Team Leader for approval by selecting “Send to Co-Team Leader” on the left navigation bar.

2.2 Alternative Flows

2.2.1 LOC is Received: After Co-Team Lead approved LOC determination, Financial Analyst captures received LOC information and Archives the record

Once the Co-Team leader has approved the record, the Financial Analyst user has access to it through their queue. The status is set to “Pending Receipt of LOC.”

Step 1 is the same as in the Basic Flow.

2) System displays Determination page
The System displays the Determination page.

On the top of the page are displayed:
Name of the Institution
OPEID
ACN
Fiscal Year End Date

The Determination field is read-only and is pre-populated with the value selected by the Financial Analyst in the Basic Flow. Determination Date is read-only and is pre-populated with value populated by the system in the Basic Flow.

There is a link to the Request for LOC file uploaded during the Basic Flow.

There is a Sent Date field (required).

There are values in LOC Due Date, Request Date, and Reason Requested fields that Financial Analyst entered in the Basic Flow (all required).

The “LOC” (Amount, % Funding, Expiration Date, LOC # required) and “Bank Information” (required, except for “Contact Person Name”) fields are available as described in Step 4 of the basic flow.

There is also a drop down-box labeled “LOC Option Chosen.” Values in this drop-down box are following:

- LOC ≥ 50%
- LOC ≥ 10% + HCM 1
- LOC ≥ 10% + HCM 2
- LOC ≥ 10% + Reimbursement
- LOC 25%

There is a section labeled “LOC Collection.” Fields include (none required):
Amount Collected
Date of Collection
Amount Returned to School
Date Returned

There are Cancel, Save, and Archive options available.

3) Financial Analyst captures LOC information and Archives the record
Financial Analyst enters any desired information in the Request for LOC, LOC, or Bank Information Sections and selects the Archive function.

4) System Archives the record
The system returns the user to their Home/Queue page. The record is no longer displayed in the Analyst’s queue.

2.2.2 Financial Analyst actor selects determination “ Cash Monitoring 1” or “Cash Monitoring 2”

Steps 1 and 2 are the same as in the Basic Flow.

3) Financial Analyst actor selects determination "Cash Monitoring 1" or "Cash Monitoring 2"
Financial Analyst actor selects a determination of "Cash Monitoring 1" or "Cash Monitoring 2" in the Determination drop-down box and selects the "Save" option.

4) System displays Determination page with appropriate upload fields
System displays Determination page.

The determination selected ("Cash Monitoring 1" or "Cash Monitoring 2") is displayed in the determination field. The "Determination Date" field is populated with the current date (read-only).

On the bottom of the page are displayed following fields:

File Name (text box; file can be selected by using the Browse button next to the File field), required.
There is a Browse option next to the File field.
Sent Date, not required.

There are Save and Cancel options available.

5) Financial Analyst actor selects Browse option
Financial Analyst selects Browse option in order to select the file he/she wants to upload.

6) System displays Choose File window
System displays Choose File window.

7) Financial Analyst actor selects the file and chooses Open function
Financial Analyst navigates through files and selects the one that he/she wants to upload. Next, Financial Analyst selects Open function.

8) System displays the location path of the selected file in the File field
System displays the location path of the selected file in the File field.

9) Financial Analyst actor enters values in requested fields and selects Save function
Financial Analyst selects Save function.

10) System displays Determination Page
System displays Determination page. There is a link to the uploaded Zone Letter file.
There are still File Name and Sent Date fields, as well as Browse and Save functions in case the Financial Analyst needs to upload a different file prior to sending the record to the Co-Team Leader for approval. At this point, the Financial Analyst has the ability to send the resolution package to the Co-Team Leader for approval.

2.2.3 After Co-Team Leader approved Cash monitoring determination, Financial Analyst enters Sent Date and Archives the record

Steps 1 and 2 are the same as in the Basic Flow. Once the Co-Team leader has approved the record, the Financial Analyst user has access to it through their queue. The status is set to "Zone Letter – Pending Date Tracking."

3) System displays Determination page
System displays Determination page.

On the top of the page are displayed:

Name of the Institution
OPEID
ACN
Fiscal Year End

The Determination field is read-only and is pre-populated with the value selected by the Financial Analyst in the Basic Flow. Determination Date is read-only and is pre-populated with value populated by the system in the Basic Flow.

There is a link to the Cash Monitoring Letter uploaded during the Basic Flow.

There is a Sent Date field (required).

There are Cancel, Save, and Archive options available.

4) Financial Analyst enters Sent Date and archives the record
Financial Analyst enters a value for Sent Date and selects the Archive function.

5) System archives the record
The system returns the user to their Home/Queue page. The record is no longer displayed in the Analyst's queue.

2.2.4 Financial Analyst actor selects determination "Reimbursement", "Without condition", or "AAA referral"

Steps 1 and 2 are the same as in the Basic Flow.

3) Financial Analyst actor selects determination "Reimbursement," "Without condition," "AAA referral," or "Denial"
Financial Analyst actor selects determination "Reimbursement," "Without condition," "AAA referral," or "Denial" in the Determination drop-down box and selects the "Save" option.

4) System displays Determination page
The System displays Determination page.

On the top of the page the Determination selected in the previous step is displayed. The Determination Date field is populated with the current date. There is a Save option and Cancel option available. At this point, the Financial Analyst has the ability to send the resolution package to the Co-Team Leader for approval.

3. Special Requirements

3.1 Save Function

If a user selects the "Save" option at any time during the Basic or Alternative flows, the system will save any values entered on the page. If the user chooses to leave the page and then return, saved values will be displayed.

3.2 Cancel Function

If a user selects the “Cancel” option at any time during the Basic or Alternative flow, the system will reset the page to display the last saved values.

3.3 Required Fields

For a Determination of “LOC” the following fields are required upon save when the submission has not been sent to the Co-Team yet for approval:

File
LOC Due Date
Request Date
Reason Requested

For a Determination of “LOC” the following fields are required upon save when the submission has already been approved by a Co-Team Leader:

Sent Date
LOC Due Date
Request Date
Reason Requested
Expiration Date
Amount
% Funding
LOC #
Bank Name
Phone Number
Address
City
State
Zip/Postal Code

For a Determination of “Zone Cash-Monitoring” the following fields are required upon save when the submission has not been sent to the Co-Team yet for approval:

File

For a Determination of “Zone Cash-Monitoring” the following fields are required upon save when the submission has already been approved by a Co-Team Leader:

Sent Date

3.4 Error Messages

When the User attempts to Save or Archive without completing required fields, an error message will display in the following format:

Field: “Field Name” is required and cannot be left blank.

3.5 School FYE Update

When a School’s Initial Submission or Reinstatement Submission has been resolved by the Case Team and archived, the system will update the School’s Fiscal Year End date with the FYE information provided in the Submission

4. Preconditions

4.1 Financial Analyst is logged in the eZ-Audit system

4.2 Financial Analyst has rights to Create Determination

4.3 Financial Analyst has selected a record from their Home/Queue Page

The Analyst has selected to view a record and has access to left navigation functions for that submission.

5. Postconditions

5.1 FS Record is available through Query after the record is archived

Once archived, the record can be accessed through Query. All values on the FS Determination page are Read-Only when viewed with the exception of the fields “Release Date,” “Amendment #,” and all fields in the “LOC Collection” section. These fields will be editable after the record is archived.

6. Extension Points

6.1 Release 1.0 Requirements

GEN898: The system will provide the financial analysts the ability to make determination by selecting one of the following - LOC, Cash Monitoring 1, Cash Monitoring 2, Reimb., Without condition, AAA Referral.

GEN906: The system will provide a field for the case team member to enter Amount in the Request for LOC sections.

GEN907: The system will provide a field for the case team member to enter % Funding in the Request for LOC sections.

GEN908: The system will provide a field for the case team member to enter Request Date in the Request for LOC sections.

GEN909: The system will provide a field for the case team member to enter Reason Requested in the Request for LOC sections.

Acceptance of the Use Case as written will require modification and CCB Review of the Following Requirements:

GEN917: The system will provide a field for the case team member to enter Analyst ID in LOC section.

GEN918: The system will provide a field for the case team member to enter Analyst Name in LOC section.

GEN925: The system will generate a standardized text template for the Request for Letter of Credit (LOC).

GEN112: The System will generate a standardized text template for Zone/Cash Monitoring Letter.

6.2 Release 1.01 Requirements

The system will require a user to enter values for LOC Expiration Date, Amount, LOC #, and Bank Information on the Financial Statement Determination Page.

The system will allow a FA to update/edit values for the fields “Amendment Number” and “Release Date” at any time.

6.3 Use Case 3 “Login to System”

This use case provides a detailed explanation of the Login process.

6.4 Use Case 15 “Select an Institution”

This use case explains the Case Team User’s ability to see their assigned queue and select an institution.

6.5 Requirements 2.0

NEW R20284 The system will update a School's FYE when an Initial/Resubmission Submission is resolved.